

A vertical graphic of the American flag, showing the stars and stripes, positioned on the left side of the slide.

NEW BEGINNINGS

Lesson 5: Monitoring Performance

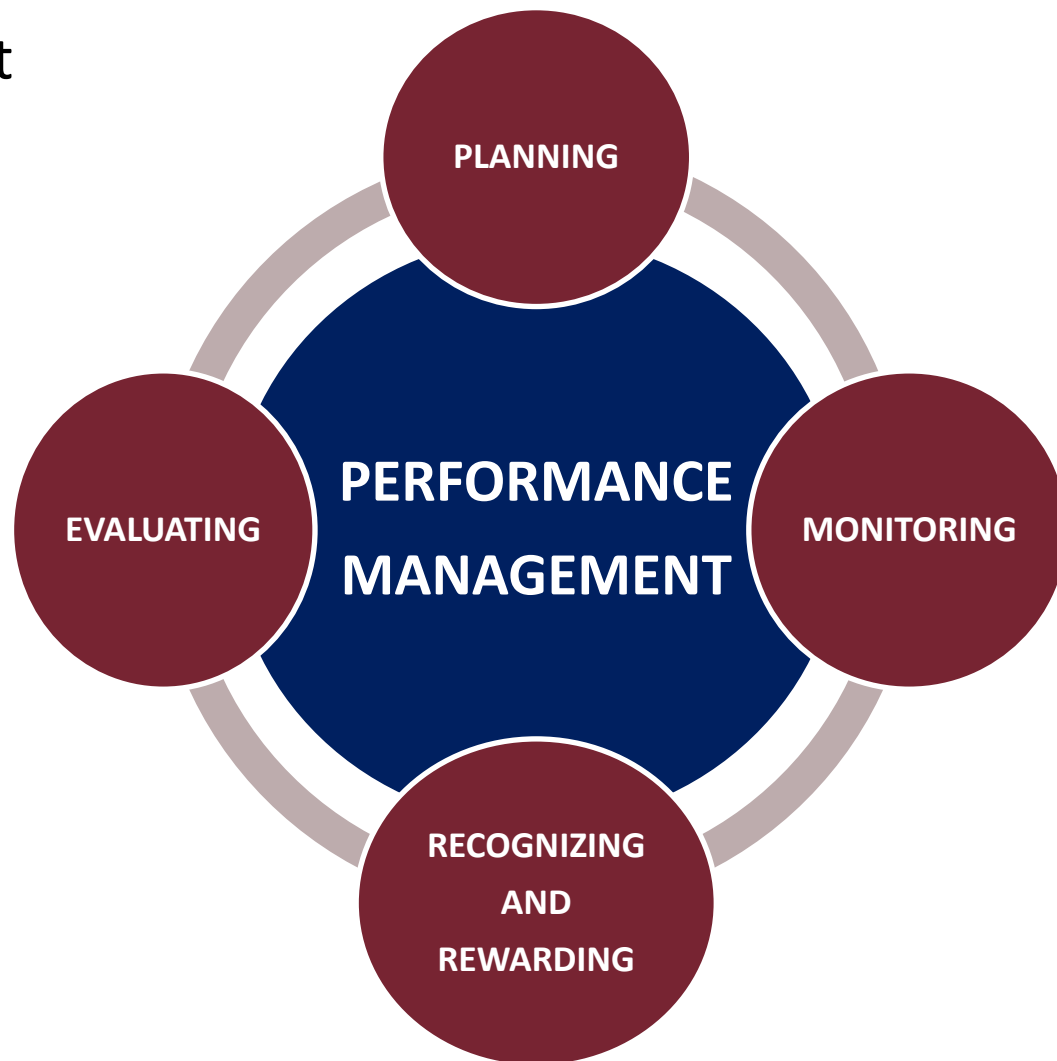
Leadership SERVICE Pride readiness
NEW WORKFORCE PLANNING Ownership
BEGINNINGS Supervisor Performance
hiring communication
EXCELLENCE FOCUS
tools accountability MENTORING
mission Teamwork PERFORMANCE Commitment
Rewards training

Upon completion of this lesson, you will be able to:

1. Identify key aspects of the Monitoring Phase.
2. Explain the value of monitoring performance continually.
3. Explain the process used to address performance issues.
4. Identify elements of a formal Performance Improvement Plan (PIP).

➤ Performance management is an ongoing process consisting of:

- **Planning** work and setting expectations
- **Monitoring** performance continually
- **Evaluating** performance in a summary fashion
- **Recognizing and rewarding** good performance



Monitoring

The ongoing assessment of performance compared to the stated expectations and ongoing feedback to employees on their progress toward reaching their goals

DODI Instruction 1400.25, Vol. 431

Monitoring Phase

Two-Way Communication

Emphasize Organizational Goals

Frequent Performance Discussions

Focus on Performance

Timely Recognition and Rewards

Early Detection of Performance Issues

Supervisors

- ✓ Continuously communicate; provide encouragement, meaningful feedback, and recognize accomplishments
- ✓ Provide employees an opportunity to highlight their successes relative to the performance elements and standards
- ✓ Identify needed changes to performance elements as appropriate
- ✓ Review IDPs to identify development opportunities
- ✓ Identify employee's skills and abilities, and look for opportunities to further develop them
- ✓ Document performance discussions
- ✓ Recognize and reward performance throughout the performance appraisal cycle

Employees

- ✓ Ask questions
- ✓ Engage in self-development
- ✓ Keep supervisor informed on outcomes
- ✓ Provide input during performance discussions
- ✓ Identify changes to performance elements as appropriate
- ✓ Identify challenges impeding ability to be successful
- ✓ Work with supervisor to find solutions to barriers to success
- ✓ Keep a record of their accomplishments so that they are able to discuss them throughout the cycle

Effective communication includes *two-way, ongoing, and meaningful feedback* that contributes to the overall success of the employee and the organization

- Individual performance expectations are linked to organizational goals
- Each employee is responsible for individual success
- Employees and supervisors openly discuss individual performance goals and expectations

What are the elements of effective communication between supervisors and employees?

- Continuous, meaningful feedback on employees' strengths and areas for improvement
- Guidance on employees' projects and responsibilities
- Active listening
- Expanded perspective for supervisor



**Upward feedback from employee to supervisor can benefit
both *supervisors and employees*
in an effective performance management program**

➤ **Upward feedback:**

- ✓ **Strengthens working relationships between supervisors and employees**
- ✓ **Improves two-way communication**
- ✓ **Increases morale and job satisfaction**
- ✓ **Enhances organizational goal achievement**
- ✓ **Identifies and helps to remove barriers**
- ✓ **Encourages proactive engagement**
- ✓ **Allows for jointly consideration of the bigger picture**

- What are the benefits of having continuous performance discussions?



Exercise: Informal Feedback Session Gone Wrong Video



Exercise: Informal Feedback Session Gone Right Video



Internal

- Motivation, perception, competence, work-life imbalance . . .

External

- Resources, training and development, unclear standards, lack of meaningful feedback . . .

Systemic

- Disparate treatment, lack of supervisor accountability, inconsistent recognition and award system . . .

Small Group Exercise: Overcoming Barriers

- Break into small groups
- List three barriers employees may face in achieving a fully successful or above rating
- For each barrier identified, suggest a mitigating action.
- Be prepared to share your work with the rest of the class



Revise the Performance Plan in the Monitoring Phase

Revise when:

- ✓ Organizational goal or mission changes
- ✓ Assignment(s), position, or duties change
- ✓ Outside influences beyond an employee's control make the original performance standards unachievable
- ✓ Assumptions about what can be reasonably achieved during the performance appraisal cycle changed

NOTE: *Minimum 90 day employee monitoring period for new/changed elements per DOD 1400.25 Vol 431, 3.2.d*

Avoiding Year-End Surprises

- Continuous performance discussions help ensure clear understanding of outcomes at the final performance appraisal discussion.
- The overall goal is mutual understanding between employee and supervisor helps eliminate surprises at the final performance appraisal discussion

- Employee input is strongly encouraged to ensure supervisors have a full range of information when evaluating employee accomplishments
- Employee input should:
 - ☐ Identify accomplishments in a clear, concise manner
 - ☐ Describe how accomplishments relate to the performance elements and standards
 - ☐ Demonstrate how accomplishments contributed to organizational goals



Exercise: Sample Discussion Questions

- Sample discussion questions can be found in the following documents:
 - *Sample Performance Discussion Questions for Managers to Ask Employees*
 - *Sample Performance Discussion Questions for Employees to Ask Managers*
- Find a partner
- Complete role-playing scenarios for each section of the sample discussion

- First step in addressing performance issues
- Informal feedback may take several forms
- Steps for effective informal feedback are:
 - ✓ State what has been observed using facts, not emotions
 - ✓ Describe how the performance fails to meet standards
 - ✓ Wait for a response (let them talk)
 - ✓ Ask for a solution; give suggestions if needed
 - ✓ Agree on a solution together
 - ✓ Set a follow-up date and time

Make sure you document everything!

- ✓ Are you sure the issue is primarily a performance problem (as opposed to misconduct)?
- ✓ Have you communicated performance standards to the employee?
- ✓ Are the standards clear and reasonable?
- ✓ Have you asked the human resources staff to review the standards for any possible problems?
- ✓ Have you given the employee specific examples of when their work did not meet the standards?

Early Intervention Is Key

- Feedback and assistance should be provided to employees early on, whenever there is a need for improvement or when there is a decline in performance
- What actions should be taken?

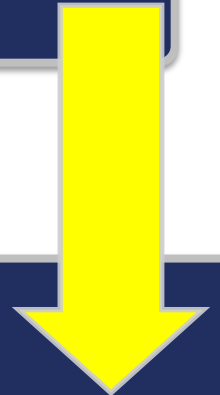


Steps to Addressing Performance Issues

1. Clearly identify unacceptable performance



2. Offer assistance



3. Provide an opportunity to improve

Exercise: What Would You Do? Video – Part 1



Exercise: What Would You Do? Video – Part 2 (former pg 29)



Steps to follow for Addressing Performance Issues

Provide scheduled performance discussions;

Identify and document performance deficiencies;

Counsel employee on performance deficiencies;

Provide time for improvement

*If still unacceptable, consider a PIP

If still unacceptable, personnel action may result

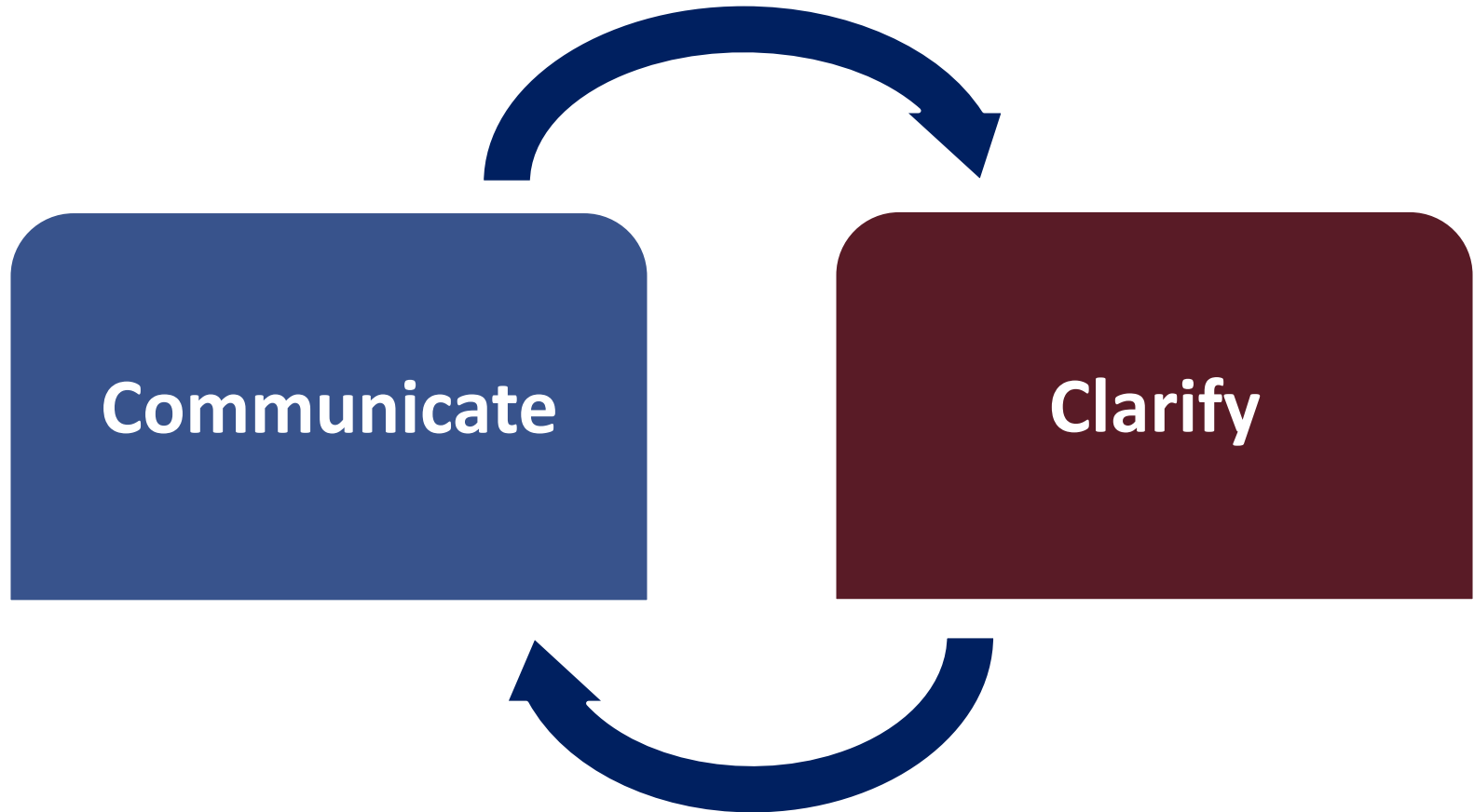
***NOTE: refer to Collective Bargaining Agreements, and contact HR before taking this step**

How Employees Can Improve Performance?

- ✓ Ask clarifying questions
- ✓ Ask for specific examples of “Fully Successful” performance
- ✓ Request additional job-related training or assistance
- ✓ Adhere to responsibilities outlined in the PIP document; actively seek assistance when needed

Exercise: What Would You Do? Video – Part 3





Formal Feedback: 8 Tips for Effective Counseling Sessions

1. Clearly communicate what acceptable performance looks like

2. Conduct the counseling session in an appropriate setting

3. Plan for enough time and document the session

4. Make sure the employee understands performance expectations

5. Focus on the performance issues

6. Leave emotions out of the conversation

7. Seek cooperation, NOT confrontation

8. The mutual goal is to improve the employee's performance

The Performance Improvement Plan (PIP) must include, in writing:

- Element(s) in which performance is “Unacceptable” and a description of the unacceptable performance
- A description of what acceptable performance looks like
- The time allowed for the opportunity to improve
- A statement of the possible consequences of failure to improve during the opportunity period
- The assistance the Agency is offering the employee to improve unacceptable performance

If the employee fails to demonstrate performance at the “Fully Successful” level despite the PIP, the employee may be reduced in grade or removed from Federal service

CALL EMPLOYEE RELATIONS FOR GUIDANCE PRIOR TO INITIATING A PIP

Exercise: Improving Performance Scenario

- Break into small groups
- Review the case study and discuss with your group appropriate methods for immediately addressing performance that deviates from an acceptable level
- Be prepared to share your work with the rest of the class



Exercise: Improving Performance Scenario

➤ Scenario:

- An employee is turning in work late on a regular basis
- The employee has been on the performance plan for more than 90 days



Exercise: Scene 1

- Taking immediate action, the supervisor notes that the employee's performance plan includes a standard that work be performed in a timely manner
- Supervisor schedules a meeting with employee



- The supervisor meets with the employee privately and discusses the missed deadlines, the performance plan's requirement, and the employee's unacceptable performance

"You have been late turning in your report for the past four weeks. Your performance plan states that you need to complete tasks on time".



Exercise: Scene 3

- As a follow-up, the supervisor sends the employee an email summarizing (and documenting) their informal conversation.



Exercise: Scene 4

- The employee continues to miss deadlines.
- The supervisor provides the employee with additional feedback: a formal memorandum of counseling, specifically referencing the deadlines that have been missed.
- The supervisor attaches the message assigning the work and its deadline as well as the employee's dated message with the final work product. The employee's dated message is proof that the work product is late consistently.



Exercise: Scene 5

- The employee still continues to miss deadlines.
- What does the supervisor do?



Exercise Debrief: Improving Performance Scenario

➤ Any final thoughts?



- Failure to take immediate action with employee issues could mean:

Damaging Office Morale

- Creates issues with other employees; projects image of ineffective leadership from supervisor

Disciplinary Issues

- Discipline issues are usually symptoms of performance issues

Preventative Actions

**Communicate
clear
performance
standards and
expectations to
employees**

**Reward and
recognize good
performance,
informally and
formally**

**Provide
continuous,
meaningful
feedback on
performance**

**Make full use of
the
probationary
period for new
employees**

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- Identify key aspects of the Monitoring Phase.
- Explain the value of monitoring performance continually.
- Explain the process used to address performance issues.
- Identify elements of a formal Performance Improvement Plan (PIP).

➤ Are there any questions?



Additional Resources

- DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development*.
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program*
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*.
- Learning and Development Roundtable. *Boosting the Effectiveness of Frontline Management* (Washington D.C.: Corporate Executive Board, 2009).
- U.S. Department of Defense, *Report of the New Beginnings Design Teams: Proposals and Recommendations for the Design of Personnel Authorities in Section 1113(d) of the National Defense Authorization Act for Fiscal Year 2010* (Washington D.C.: November 2011)
- U.S. Merit Systems Protection Board, *A Call to Action: Improving First-Level Supervision of Federal Employees*, (Washington D.C: Government Printing Office, 2010).
- DCPAS Resources and References web site includes: DCPAS HR Toolkit, Tip Sheets and Checklist, MyPerformance Training Videos, and MyPerformance User Guides

<https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>

- DCPAS LERD web site:

<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>